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ABSTRACT

This planning guide provides eligible education agencies in New York State with the necessary information and instructions for developer grant competition in Title IV of the Elementary and Secondary Education Act. Development is the first stage of the "transferring success" process of a school district that has educational needs specified for the year in which the grant is first sought. The manual is organized chronologically into two parts: Part A--planning and grant application and Part B--operation and administration of the developer grant. A fill-in chart is provided for districts wanting to keep track of the procedures and events. (Author/LD)

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TRANSFERRING SUCCESS
ESEA IV

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
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PART C

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EDUCATION INNOVATION AND SUPPORT

VOLUME I
DEVELOPER MANUAL

The University of the State of New York
THE STATE EDUCATION DEPARTMENT
Division Of ESC General Program Planning
Albany, New York 12234
1979 - 80

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PREFACE

This planning guide for ESEA IV, Part C provides eligible education agencies with the necessary information and instructions for Developer Grant competition in Title IV, Part C in New York State.

P.L. 93-380, the Education Amendments of 1974, created Title IV of the Elementary and Secondary Education Act. The amendments extend and amend the Elementary and Secondary Education Act of 1965.

Title IV consolidates seven categorical programs into two authorizations:

Part B: Library and Learning Resources
Part C: Educational Innovation and Support
(Part A of the title includes the authorizations, allotments, and common program requirements for the two program purposes.)

It is the purpose of Title IV, Part C to combine within a single authorization, programs formerly carried out under the provisions of law governing Title III, Title V and Sections 807 and 808 of Title VIII of the Elementary and Secondary Education Act but not including that part of Title III of the Elementary and Secondary Education Act that is related to testing, guidance and counseling which is provided for under Part B.

Information on all aspects of ESEA IV, Part C, including guidance in the development of proposals, may be obtained from the Division of ESC General Program Planning, Room 860, New York State Education Department, Albany, New York 12234, Tel: 518; 474-2380.

This manual was prepared by Paul Regnier of the IV-C staff and was reviewed by many who have participated in the IV-C program. The Department is grateful for their valuable suggestions which have been included within these pages.

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ESEA TITLE IV-C PROGRAM IN NEW YORK STATE - AN OVERVIEW

The program described in Title IV, Part C of the Elementary and Secondary Education Act, has two congruent purposes:

- to stimulate the development of programs which are addressed to significant educational needs and which are innovative and of proven quality
- to facilitate the demonstration of such programs and their adoption by school districts which have needs addressed by these programs.

The New York State Title IV-C process promotes the spread of educational practices which successfully address needs common to many school districts within the State. There are presently 32 priority areas within which grants for program development have been awarded under IV-C. In addition, the Title IV-C program funds the demonstration and adoption of programs developed through other funding sources. The Title IV-C "Transferring Success" process has four stages: a program is Developed, Validated as effective and transferable, Demonstrated to school districts within New York State, and Replicated by New York State school districts which have needs addressed by the program.

1. DEVELOPMENT - The first stage in the New York State "Transferring Success" process is DEVELOPMENT. Developer grants are awarded to certain school districts with educational needs which fall within priority areas specified for the year in which the grant is first sought. Each program developed under one of these grants addresses the needs of its priority area with an innovative approach. The purpose of these grants is to develop new answers to problems, not to continue programs which have already been developed. Developer grants are not offered during every fiscal year, and not all IV-C programs have been developed under such grants. During its final year of funding, a successful Developer program is expected to apply for Validation.

2. Validation is the next stage of "Transferring Success." Generally, grants will not be made specifically for Validation. Any New York State school district which has developed an innovative educational program which addresses needs common to many New York State schools and which is potentially transferable to other school districts may apply for New York State Validation under Title IV-C. This program may have been developed with tax-levy funds or with IV-C or other outside funds. A school district which has received a IV-C Developer grant is expected to apply for Validation in its final year as a Developer.

New York State Validation, as administered by the Division of Elementary, Secondary, and Continuing General Program Planning,

New York State Education Department, consists of a review and verification of the effectiveness/success, transferability and cost data of a project. This is done to establish its educational significance and the feasibility of transferring the program to other school districts with similar needs. A district seeking Validation must submit an application for Validation to the IV-C Office on a form provided by that office. Evidence of the effectiveness, transferability, and cost of the program is presented in the application. After a favorable review of the application by experts in evaluation and in the priority program area, a team of educational specialists is sent to the district to verify the data and the claims made in the application. The report of the team is then submitted to the IV-C Office and is reviewed there and sent to the Commissioner of Education who makes the final decision whether to Validate a program as exemplary and worthy of adoption by other New York State school districts.

3. DEMONSTRATION - The third stage of "Transferring Success" is DEMONSTRATION. Grants are awarded to school districts for the Demonstration, within New York State, of programs which have been Validated by the Commissioner of Education; funds from such a grant may not be used to operate the educational program which is being Demonstrated. A IV-C Demonstration project does the following:

- disseminates information and creates awareness in Local Educational Agencies (LEA's) throughout New York State
- helps LEA's to consider the usefulness of the Demonstrator's program
- helps LEA's as they prepare proposals for Replication grants which will provide incentives, such as "start-up" costs, for Replication of the program
- trains Replicators in the skills necessary to implement the program
- helps Replicators to install the program
- monitors and evaluates Replications of the program

4. REPLICATION is the fourth stage of "Transferring Success" and the ultimate goal of the "Transferring Success" process. A Replicator receives a small grant to provide start-up costs for the first year in which it implements a Demonstrated program. A Replicator should continue the program beyond the first year if it is successful. The Replication, by school districts, of programs developed elsewhere can be expected to reduce overall costs for innovative educational programs by limiting development costs to the district which originally develops a program.

* * * * * * * * * * * * * *

The IV-C Mini-Project Program

As another means of promoting the development and dissemination of innovative programs, the IV-C Office has developed a Mini-Project Program. Grants in this program are made to BOCES and large city school districts which in turn contract with public school districts who implement mini-projects under the supervision and financial responsibility of the BOCES or large city districts. Most mini-project grants are comparable to Developer grants. Further information on the Mini-Project Program can be obtained from Optional Education Programs Representatives (OEP Reps) located in BOCES and large city districts which supervise these projects as well as from the Title IV-C office, State Education Department.

The chart below graphically presents the Title IV-C "Transferring Success" process and indicates the part of that process with which the rest of this Manual will deal.

DEVELOPMENT of innovative educational programs which address statewide needs	VALIDATION of educational innovations as effective and transferable	DEMONSTRATION of Validated programs to Local Educational Agencies throughout New York State	REPLICATION of Demonstrated programs by LEA's whose needs are addressed by those programs

THIS MANUAL DEALS WITH

THIS SECTION OF THE

TRANSFERRING SUCCESS PROCESS

* * * * * * * * * * * * * *

This manual, "The Developer Manual," is Volume I of the "Transferring Success" series. The volumes in this series are listed below:

I. "The Developer Manual"

II. "The Validation Manual" (Ready March 1979)*

III. "The Demonstration Manual"

IV. "New York State Educational Programs That Work" - a description of all New York State Title IV-C Demonstration programs

V. "The Replication Manual"

VI. "Transferring Success UPDATE" - a newsletter sent, at intervals, to IV-C grant recipients, district Federal Aid Coordinators, OEP Reps, and others to update IV-C policies and procedures and to make announcements about other IV-C matters

* The current information on Validation to be followed is contained in the publication, "Transferring Successful Practices - A Manual for the Validation of Educational Products and Processes, Division of ESC General Program Planning, The State Education Department, Albany, New York 12234, 1976, 34pp.

INTRODUCTION TO ESEA IV-C DEVELOPMENT

In any given year, the State Education Department (SED) may establish a number of "priority areas" in which it feels that innovative educational programs should be developed. These areas are delineated in Requests For Proposals (RFP's) which describe the types of projects eligible for grants in a given year. Three such areas (Dropout Prevention, Health and Nutrition, and Education of the Handicapped and Learning Disabled) have already been identified by federal law and, if not enough continuing programs in a given year address them, RFP's will be issued in these areas. A Developer grant is awarded to a school district wishing to develop a program which addresses educational needs specified in a Developer RFP for the first year for which the grant is sought. Developer grants are awarded for one year but may be awarded -- on a competitive basis -- for a second or third year of Development. Besides addressing the needs delineated in an RFP, the project to be developed should be:

- innovative
- based on the best known research
- cost effective
- able to be evaluated

If the program which is developed through such a grant is successful, the district is expected to apply for Validation in the final year of Development and, if Validated, to eventually become a Demonstrator. A school district operating a Developer project is not expected to disseminate information about that project until the project has been Validated.

The remainder of this Manual is organized chronologically in two Parts. Part A - PLANNING AND GRANT APPLICATION - covers the period during which a school district plans its Developer project and applies for a Developer grant. Part B - OPERATION AND ADMINISTRATION OF THE DEVELOPER GRANT - covers the period after the award of a Developer grant. The procedures and events discussed in Parts A and B of this Manual are outlined chronologically in the following chart. The "DATES" section to the left of the chart allows a district to keep track of these procedures and events:

DATES	A - Planning and Application
_____	Carry out needs assessment - define needs, survey solutions
_____	Contact IV-C Office - read RFP's - select a priority area if applicable

_____	Plan Development procedures addressing a priority need
_____	Develop evaluation strategy
_____	Secure involvement approval of all participants, including nonpublic schools
_____	Write Developer grant proposal
_____	Submit Developer grant proposal to SED
_____	SED considers Developer grant proposal
_____	SED approves/disapproves proposal

DATES	B - OPERATION AND ADMINISTRATION
_____	Begin operation - Begin keeping record of activities
_____	Establish budget and accounting procedures
_____	Collect baseline data, establish evaluation and recording procedures
_____	Hire personnel and purchase materials and equipment
_____	Establish firm and realistic timelines for program activities
_____	Carry out activities of Developer project - Make budget decisions and keep records

_____	Collect and record evaluation data
_____	Secure involvement of nonpublic schools

DATES	Specific project activities
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	Reports Due - Expenditure Report and Monthly/Quarterly Request for Funds (FA-25-AP)
_____	Expend and/or account for funds
_____	Complete grant activities
_____	Final Expenditure Report
_____	Mailed Information Report (MIR)
_____	Continuation Application (including Status Report)
_____	Appraise evaluation evidence

Part A - PLANNING AND GRANT APPLICATION

Chapter 1. Problem Identification and Planning

1.1 Needs Assessment - Since every Developer program must address an educational need of the district in which it operates, the first step in Development is assessment of a school district's needs. A need is a gap between the present situation and a desired goal. In general, needs statements should be made in terms of student behavior. Examples of appropriate needs statements are:

- Twice as many students should receive academic high school diplomas as do now.
- Reading scores in the third grade should be raised so the distribution of scores approximates that in other communities similar to ours.
- The proportion of students who start to smoke in our high schools should be reduced from the present 50% to 10%.

The needs assessment procedure must be systematic and, by law, must include participation of persons "broadly representative of the cultural and educational resources of the area to be served." The needs assessment must substantiate, through objective evidence, the current level of achievement and specify the level of achievement which the Developer program will seek to reach.

1.2 Survey of Solutions - Once a need has been systematically identified and clearly and objectively stated, the search for a solution may begin on a firm basis. Before a school district decides to develop a program which addresses its needs, it should be certain that it has not overlooked other programs which have already been developed and which might be adapted to the particular circumstances of the school district. Demonstration programs funded under "Transferring Success" are listed in Volume IV of this series - "New York State Educational Programs That Work" (PTW). Information regarding nationally validated programs operating under the National Diffusion Network may be obtained through the State Facilitator's Office (NDN) in the State Education Department - (518) 474-1280.

1.3 Review of Literature - A literature review may reveal further solutions to the need which has been identified. A literature search is also necessary so that information about previous experience with programs may help in the design of the Developer program. References to such information should be cited in the Developer Grant Application. Applicants are encouraged to contact the Education Programs and Studies Information Service Unit (EPSIS) New York State Education Department, (518) 474-3639 for literature search services.

Chapter 2. Deciding to Develop a Program

2.1 Relationships between State Priorities and Local Needs - Each year the State Education Department identifies statewide educational priorities and describes these priorities in "Requests for Proposals" (RFP's). These priorities and the deadline for submission of proposals are announced in the fall. At that time copies of RFP's may be obtained from the Coordinator of Innovative Educational Planning, Room 860 EBA, State Education Building, Albany, NY 12234 (518) 474-2380. If a district can find a correspondence between its need and the educational priority described in one of the RFP's, it is in a position to plan the Development program for which it will apply for a Title IV-C grant.

2.2 Formulating Objectives - A program's Objectives should address the needs identified in the needs assessment. Objectives (with the partial exception of institutional objectives - see Section 3.10 of this manual) should be formulated in terms of the change in behavior which would bring about the "desired goal" given in the needs statement. Such an Objective should clearly state five things:

1. Who is to do...
2. What because of...
3. What program, events, or activities by...
4. What date as measured by...
5. What criteria of measurement...

Such an Objective must include all of the above elements and must be specific.

2.3 Determining Activities - The activities of a Developer project should realize the Objectives of that project. In considering which activities should be carried out by the Developer project, the following factors should be kept in mind:

- The selection of activities that would most likely achieve the Objectives in the most efficient and economical manner without undue burden on human resources
- Evidence from research of the effectiveness of the activities in situations similar to that in which they are to be applied
- The probable short- and long-term impact of the activities on other parts of the district's educational program

2.4 Evaluation - A Developer grant must have an evaluation strategy before the activities begin so that the effectiveness of the activities in realizing the Objectives may be determined. The criteria used to judge the effectiveness of the activities should be those stated in the Objectives. For instance, consider the following Objective:

> Eighth grade students who have participated in the Smith/Jones Rugged Reading Program for five 45 minute periods per week will demonstrate significant ($p \leq .05$) improvement in reading during the 1978-79 school year as measured (pre/post) by a standardized reading test.

The criteria for evaluating the results of this Objective would be the standardized reading test. The activities would be the participation of 8th grade students in the Smith/Jones Rugged Reading Program. The Objective states that a pre-test is given at the beginning of the school year in order to collect baseline data against which the results of the post-test can be compared. The instrument used to evaluate this Objective is a standardized instrument. If no standardized instrument exists for evaluating the results of a program, every effort should be made to develop appropriate instruments and to have them reviewed by test development experts. The evaluation strategy should also include specific procedures for collection, recording, and analysis of evaluative data. A district may ask for help in developing its evaluation strategy from the Bureau of School and Categorical Programs Evaluation, State Education Department, Albany, New York 12234 - (518) 474-7264.

2.5 Decision-making - Once a school has identified its needs, surveyed solutions to those needs, found a correspondence between its needs and those expressed in an RFP, and devised Objectives, activities, and an evaluation strategy for addressing its needs, it is ready to consider writing and submitting an ESEA Title IV-C Developer grant proposal. At this point, those in authority in the school system must decide to support the planned program and to make whatever commitments of resources and changes in policies and practices are called for in the proposed Developer project. Failure of key decision-makers to involve staff in the process and failure of staff to involve key decision-makers in grant preparation have been major sources of failure in past change efforts. Involvement of key persons throughout the planning process is the best way to ensure that they will understand the proposed program and be committed to it.

Chapter 3. - Writing and Submitting a Developer Proposal

3.1 The Legal Applicants - A project proposal may be submitted only through an official Local Education Agency (LEA) which is legally defined as constituted by either:

- a local public Board of Education
- a Board of Cooperative Educational Services (BOCES)
- certain campus schools in public universities

A combination of two or more legal applicants may cooperate on a project; in such a case one district must be responsible as legal and fiscal agent for the group and must submit the proposal.

3.2 Nonpublic School Participation - According to Federal law, the LEA is responsible for making accessible to children in nonpublic, as well as public, schools all benefits authorized under Title IV-C. The LEA must determine which nonpublic schools are within its attendance area and invite the participation of representatives of all those nonpublic schools in planning the Developer project. Although public school and nonpublic school projects need not be identical, there should be comparability of expenditures and benefits in the concentration of programs to assure equitable participation of children in nonpublic schools. However, the nonpublic program should reflect one of the established priorities set forth in the IV-C RFP's. If any of the school officials of nonpublic schools in the attendance area do not wish to participate in the project, the LEA must secure a "sign-off" letter to that effect from the nonpublic school officials and that letter must accompany the grant application. The average expenditure for benefits to nonpublic school children under Title IV-C must be equal to the average expenditure for public school children who receive such benefits, except when the needs of nonpublic school children differ from the needs of children in public school. The control of funds under Title IV-C and the title to materials and equipment must remain in a public agency and be administered by a public agency. Applicants who fail to meet these requirements will be disqualified.

3.3 Provisions for Technical Assistance - A local education agency which has been declared less able to compete due to small size or lack of financial resources may, according to Federal regulations, receive special help in formulating proposals and operating programs from the State Education Department. A school district may be declared "less able to compete" if it has either a 1977-78 enrollment less than 1500 pupils plus full evaluation for 1977-78 aid of less than $30,000 per pupil or any enrollment and full evaluation of less than $26,000 per pupil and has received no previous IV-C grants.

3.5 The Grant Application - Between this page and page 13 is the grant application form. The pages of the application are numbered separately from the rest of this Manual; page numbers in the applica-

tion are preceded by the letter A. An applicant for an ESEA Title IV-C Developer grant should photocopy these pages and use them as its grant application. Instructions for completing the application are on pages 13-16.

The University of the State of New York

THE STATE EDUCATION DEPARTMENT

Division of ESC General Program Planning
ESEA Title IV C Office

Albany, New York 12234

A-1

FILE NUMBER

SECTION 1

BASIC PROJECT APPLICATION DATA: ESEA TITLE IV PART C

1.

.....PLEASE COMPLETE ALL ITEMS BELOW.....

2.

a. Indicate the 12 digit BEDS Public School District Code.

BEDS PUBLIC SCHOOL DISTRICT CODE												

b. This application is being submitted in response to Request for Proposal (RFP) number (New applicants only). . . . . .

c. Project Title _____

3.

a. Local Educational Agency _____ Congressional District(s) # _____

b. Name of Chief School Officer _____

c. Address _____
Street City Zip County

4.

Director and/or Coordinator of Project or Contact Person

a. Name _____ Title _____

b. Address _____ Phone ( ) _____
Street City Zip Area Code Number Ext.

5. Indicate the type of agency receiving the Grant. (Check one box only.)

☐ 28 Public School District	☐ 29 BOCES	☐ 30 Nonpublic School
☐ 31 College or University	☐ 32 Education Department	☐ 33 Department of Mental Hygiene
☐ 34 Division for Youth	☐ 35 Corrections Department	☐ 36 Health Department
☐ 37 Private/Non-Profit Organization	☐ 38 Other	

01
79 80

6. Beginning Date of Project (/ /) 14 Mo. 15 16 Day 17 18 Yr 19 — Ending Date of Project (/ /) 20 Mo. 21 22 Day 23 24 Yr. 25

7. Total Federal Funds applied for in Proposed Budget (Total Project Budget). (Last digit must be in far right box.) $ 26 — 33

8. If all or part of this project has no Direct Services involved indicate the type of project below. (Check as many boxes as applicable.)

- ☐ 34 Managerial and/or Administrative Budget
- ☐ 35 Inservice Education
- ☐ 36 Search and Find
- ☐ 37 System (i.e., SEIMC, NYSCC)
- ☐ 38 Curriculum Development
- ☐ 39 Planning
- ☐ 40 Materials and Equipment
- ☐ 41 Evaluation
- ☐ 42 Guidance and Counseling
- ☐ 43 Research and Development
- ☐ 44 Other

9. Indicate the year in which a needs assessment was completed for this project. 1 9 ☐ ☐ 45 — 48

10. Is this a cooperative project with another Public School District or BOCES? ☐ 49 Yes ☐ 50 No

11. Indicate the number of project sites (buildings). (Last digit must be in far right box.) ☐☐☐ 51 — 53

12. Estimated Number of N-12 Students to be served in this project. (Direct services only.) (Last digit must be in far right box.) ☐☐☐☐☐ 54 — 58

13. Estimated unduplicated Number of Professional Staff (Include Full and Part Time Personnel) to be funded under this project. (Last digit must be in far right box.) ☐☐☐☐☐ 59 — 63

0 2 79 80

14. PROJECT STATUS: (Check one box only.)

☐ 14 New ☐ 15 Continued ☐ 16 New and Continued

15. Target population served: (Check as many boxes as applicable.)

☐ 17 General ☐ 18 Disadvantaged ☐ 19 Handicapped

☐ 20 Adult ☐ 21 Post Secondary

16. Is this project to be financed in part with funds from any other sources? (Check one box only.)

☐ 22 Yes ☐ 23 No

17. Indicate the Evaluation Models to be used. (Check as many boxes as applicable.)

☐ 24 U.S.O.E. A_1: Comparison with National norm based prediction

☐ 25 U.S.O.E. C_1: Special regression discontinuity with only National norm tests.

☐ 26 U.S.O.E. A_2: Comparison with National norm prediction augmented by local norm estimate.

☐ 27 U.S.O.E. C_2: Special regression discontinuity with National norm and local norm tests.

☐ 28 U.S.O.E. B_1: Comparison of treatment and nontreatment group with only National norm tests.

☐ 29 Grade equivalent historical regression based prediction

☐ 30 U.S.O.E. B_2: Comparison of treatment and nontreatment group via National norm and local norm tests.

☐ 31 Criterion referenced assessment solely.

☐ 32 Individual pre/post test pupil reporting

0 3
79 80

INFORMATION ON PROJECT PARTICIPATION

18. a. Type of ESEA Title IV-C Grant being requested. (Check one box only.)

☐ 14 Developer ☐ 15 Validation ☐ 16 Demonstration ☐ 17 Replication

b. District Enrollment. (Check one box only.)

☐ 18 Under 599 ☐ 19 600-4 999 ☐ 20 5,000+

c. Special Target Population Served by this project. (Check as many boxes as apply.)

☐ 21 Gifted/Talented ☐ 22 Bilingual ☐ 23 Early Childhood ☐ 24 Staff Training

19. Review of Literature

(To be completed by Developer Grant Applicants Only)

a. Was a literature search conducted at your request by the SED's Education Programs and Studies Information and Service Unit. (Check one box only.)

☐ 25 Yes ☐ 26 No

NOTE: See p. 5, for comments on this service.

b. If your response to "A" above is "Yes", how valuable was the search? (Check one box only.)

☐ 27 Much Value ☐ 28 Some Value ☐ 29 Little Value

c. If your response to "A" above is "No" indicate what resource was used.

_____

d. Please indicate any suggestions on how this service might be improved in the space provided below:

_____

_____

20. Estimated Budget (1 Yr.) Title IV C Funds Requested (Indicate to nearest whole dollar. Do not use decimals.)

	Item of Expenditure	Total Dollar Amount
1.	Personnel (include fringe)	30 35
2.	Contracted Services	36 41
3.	Equipment	42 47
4.	Materials	48 53
5.	Inservice Training (Stipends)	54 59
6.	Travel	60 65
7.	Other (specify) _____	66 71
8.	TOTAL (This amount should be indicated on page 2 of application, Item 7.	72 77

0 6 (79 80)

21.

Types of Participants	Number of Participants															
	Public										Nonpublic					
	Pre-K		Gr. K-6		Gr. 7-12		Other		Total		Pre-K		Gr. K-6		Gr. 7-12		Other		Total	
Pupils Participating Directly in Project	14	18	19	23	24	28	29	33	34	38	39	43	44	48	49	53	54	58	59	63
Teachers Participating Directly in Project	14	18	19	23	24	28	29	33	34	38	39	43	44	48	49	53	54	58	59	63

0 7 (79 80)

0 8 (79 80)

Section II - Program Information

1. PLANNING PROCESS: This section should outline the process leading up to the submission of the IV-C Grant Proposal.		
WHO?	DID WHAT?	WHEN?

2. NEEDS - A need is a gap between the present situation and a desired goal.

A. Describe the present situation to which the objectives and activities listed in this application are addressed; provide the baseline data (not opinions) which support the description of the present situation against which the results will be measured.

B. Describe the desired goal which the objectives and activities in this application are expected to achieve:

C. Describe the efforts which the district has made to review similar programs and relevant research.

3. Nonpublic School Participation

Check one of the following, providing necessary lists of nonpublic schools as requested in items B and C.

_____A. There is no nonpublic school within the attendance area of the district.

_____B. Officials of nonpublic schools within the district's attendance area have been involved in the planning for this grant application and have decided to participate. Attach list of the name(s) of nonpublic schools participating, address(es), grade levels involved and approximate number of participating teachers and children.

_____C. Officials of nonpublic schools within the district's attendance area have been involved in the planning for this grant application and have decided not to participate in the program. Attach letters from nonpublic schools acknowledging that they will not participate in the program.

4. OBJECTIVES: Give each required element for each Objective in the boxes below. Photocopy as many sheets as necessary. See Sections 2.2 and 3.10 of this Manual for instructions and examples of Objectives.

Objective #	Nonpublic school participation in this Objective	Yes	No
A. Person or object to be changed	A.		
B. Description of change	B.		
C. Description of program causing change	C.		
D. Date by which change will be accomplished	D.		
E. Criteria used to judge success in achieving change	E.		

5. ACTIVITIES: Each activity should be given a number corresponding to the number of the Objective to which it corresponds.

	4. ACTIVITIES (Asterisk in left column those activities with nonpublic school participation)	Dates		Costs		
*		Begin	End	Title IV-C funds needed	Local funds + facilities provided	Specify other sources of funds

6. EVALUATION METHODOLODY

1.0 A. Statement of Objective:

B. Description of Evaluation Strategy for this Objective:

C. Materials and Personnel requirements for evaluation of this Objective:

Costs $[ ]

2.0 A. Statement of Objective:

2 B. Description of Evaluation Strategy for this Objective:

2 C. Materials and Personnel requirements for evaluation of this Objective:

Costs $[ ]

ASSURANCES

THE APPLICANT HEREBY ASSURES THE COMMISSIONER OF EDUCATION OF THE STATE OF NEW YORK THAT:

1. The activities and services for which assistance is sought under this grant will be administered by or under the supervision of the applicant;

2. The Applicant will comply with Title IV of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Regulations of the Department of Health, Education, and Welfare (45 CFR Part 80) issued pursuant to the title, to the end that no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the applicant receives Federal financial assistance from the Department. (The assurance of compliance (HEW 441), or court order, or desegregation plan previously filed with the U.S. Office of Education in accordance with the Department of Health, Education, and Welfare Regulations applies to this application);

3. All equipment acquired with funds under Title IV, Part C will be used for purposes specified in the approved project proposal, will be under administrative control of the applicant throughout its expected useful life so long as the equipment is used for its original purpose;

4. The project will be operated in compliance with Public Law 93-380, as amended, and with Regulations and other policies and administrative issuances by the U.S. Commissioner of Education including submission of such reports as may be required;

5. The applicant will make an annual report and such other reports to the State Education Department, in such form and containing such information, as may be reasonably necessary to enable the State Education Department to perform its duties under Title IV, Part C, including information relating to the educational achievement of students participating in programs carried out under Title IV, Part C, and will keep such records and afford such access thereto as the State Education Department may find necessary to assure the correctness and verification of such reports;

6. The filing of this application has been authorized by the governing body of the applicant, and the undersigned representative has been duly authorized to file this application for and in behalf of said applicant

and otherwise to act as the authorized representative of the applicant in connection with this application. (Attach copy of authorizing document, i.e., Board Resolution.)

7. Compliance will be made with Section 438-440 of the General Education Provisions Act relating to "Protection of the Rights and Privacy of Parents and Students."

8. Compliance has been made with Title IX, Education Amendments of 1972, Prohibiting Sex Discrimination in Education.

I, _____, do hereby certify that all of the facts, figures, and representations made in this application, including all exhibits and attachments hereto and hereby made a part of this application, are true and correct to the best of my knowledge.

_____ _____
(Date) (Legal Name of Applicant)

_____
Signature of Chief School Officer

_____
(Representative's Title)

PLEASE attach required Board Resolution as requested in Item #6.

ABSTRACT
(Limit to one Page)

(The abstract will be used by the Title IV-C office in several ways. Since it will be removed from this application, we ask you to repeat some information from the first page of the application.)

1. School District _____
(Popular name and address and county)

2. Title of Project _____

3. Type of Grant: Developer Demonstration Replication
(circle)

4. Total Budget: $_____

5. Pupils served: _____Number Public _____Number Nonpublic

Needs Statement Summary:

Major Objectives:

Major Activities:

Major Evaluation Activities:

3.6 Instructions for Completion of the Developer Grant Application - Refer to Section 3.5 (pp. A1-A13) which contains the Application.

3.6.1 Page A-1

- A school district which is applying for continuation of its present Developer grant should place its file number in the upper right corner of page 1. A school district applying for a first year Developer grant should leave the box blank.
- Please do not write anything in item #1 -- the gray area labeled "For SED use only."
- The public school BEDS code should be typed in Section 2A. Item 2B should contain the number of the RFP for the priority area of this Developer grant (see Section 2.1 of this Manual); Item 2C should contain the project title.
- Supply information for Item 3. Item 4 should contain the name of the person who will actually operate the project.
- For Item 5 either box 28, 29, or 31 should be checked.

3.6.2 Page A-2

- The beginning and ending dates are generally 07/01 of the current year and 06/30 of the next year.
- Item 7 should reflect the total of Item 20; the last digit should be in the right hand box.
- For Item 8,direct services means a traditional teacher/student relationship (e.g., classroom situation, tutoring.)
- For Item 9, the needs assessment has usually been completed in the year of the grant submission or in the previous year.
- Item 10 should be checked "yes" only if more than one LEA or BOCES is applying for the same grant.
- Item 11 should include all separate buildings in which the Developer project will operate.
- Complete Item 12 as directed
- For Item 13 include only professional staff and do not pro-rate part-time work but count each part-time professional as one.

3.6.3 Page A-3

- o A district applying for a first year Developer project should check "new" under Item 14 and a continuing Developer should check "continued."
- o For Item 15 check "General" for any group other than those specified and check as many boxes as possible.
- o Since IV-C standards require local commitment from grant recipients, the "yes" box should be checked in Item 16.
- o For Item 17, indicate the models being used to evaluate the Objectives of the Developer program (see Section 2.2 of this Manual).

3.6.4 Page A-4

- o In Item 18A check "Developer"; supply information for Item 18B; check any applicable boxes under Item 18C.
- o Check "yes" under Item 19A if an EPSIS literature search was conducted for this project (see Section 1.3 of this Manual); for Sections 19B and D evaluate the EPSIS service which you received. If another type of literature search was used, describe it in Section 19C.
- o Item 20 should include all costs which the Developer expects to have listed in his budget.
- o For Item 21, indicate the numbers of students receiving direct services as defined in Section 3.6.2 above and the numbers of teachers who will be directly involved in the program during the Grant Period.

3.7 Planning Process - This section of the application should include information on the planning process leading up to the decision to apply for a Developer grant (see Sections 1.1 - 2.5 of the Manual). Specific persons should be cited and each person's contribution should be mentioned.

3.8 Needs - This section of the application should reflect the needs identified in the needs assessment and the reviews of solutions described in Sections 1.1-1.3 of this Manual.

3.9 Nonpublic School Participation - This section of the application should reflect results of the contact with nonpublic schools described in Section 3.2 of this Manual. A district applying for a IV-C grant must check one of the items in this sec-

tion of the application and attach required materials if either B or C is checked.

3.10 Objectives - Section 2.2 of this Manual discusses formulation of Objectives for Developer projects. Each element of each Objective must be supplied and must be clear. The participation or nonparticipation of nonpublic schools in the realization of each Objective must be indicated by a check in the appropriate box. Objectives may be either behavioral (the behavior of a person or persons will change) or institutional (an object will be changed). An example of each of these types is given below.

Example of Behavioral Objective	
A. Person or object to be changed	A. *Students identified as gifted and/or talented*
B. Description of change	B. *Will demonstrate significant increase ($p \leq .05$) in critical thinking ability*
C. Description of program causing change	C. *As a result of teacher supervised independent study*
D. Date by which change will be accomplished	D. *during the period 9/78-6/79*
E. Criteria used to judge success in achieving change	E. *As measured by a comparative analysis of pre-post intervention student projects judged by three experts using predetermined criteria and a Likert-type scale*

Example of Institutional Objective	
A. Person or object to be changed	A. *The BOCES and its contracting districts*
B. Description of change	B. *Will achieve alignment between services available for handicapped students and the specific needs of these students*
C. Description of program causing change	C. *As a result of revisions in the existing systems for delivery of services to the handicapped and identification of the needs of the handicapped*
D Date by which change will be accomplished	D. *By June, 1980*

E. Criteria used to judge success in achieving change	E. *As measured by a comprehensive analysis and description of existing situations, a plan -- employing a PERT chart -- of similar techniques, constant monitoring and documenting of changes as they occur, and a comprehensive analysis of the situation in June, 1980*

3.11 Activities - Section 2.3 of this Manual discusses the items required by this section of the application. This section of the application should reflect the timetable and the specification of resources for realizing the Developer Objectives during the Grant Period as well as nonpublic school participation in the activities.

3.12 Evaluation Methodology - Specify the strategies used to measure the achievement of the Developer project's Objectives (see Section 2.4 of this Manual) and the resources necessary for each strategy. The strategy for the collection of baseline data for each Objective should be specified.

3.13 Signature and Abstract - The Chief School Officer applying for the Developer grant must sign at the end of the assurances. The one page abstract must be completed, concisely condensing the information in the application.

Chapter 4 - The Developer Proposal at the State Education Department

4.1 Deadline - The Developer proposal must be received at the Title IV-C Office, Room 860 EBA, State Education Department Albany, NY 12234 before the deadline date established by that office. An original and five copies must be sent.

4.2 Screening Criteria - Proposals will generally be disqualified if they are received after the deadline or are missing any of the following:

- Original copy
- Original signature of authorized official
- Signed assurances and approval of the Board of Education
- Sign-off letters from nonpublic school officials who do not wish to participate in the program

Projects will be delayed in review should information be missing on any other parts of the application.

4.3 Review Criteria - Each Developer grant proposal which passes initial screening is reviewed by specialists in the State Education Department using rating instruments which reflect the following criteria:

- o Involvement of appropriate groups and individuals from the school community - especially teachers, students, and nonpublic school personnel - in the development of the proposal
- o Adequate planning reflected in specific planning events
- o Correspondence to specifications of the RFP for the priority area in which the proposal is submitted
- o Promise of meeting critical educational needs of school districts throughout New York State
- o A well-developed operational plan expressed in concise Objectives, with appropriate activities
- o Adequacy of the program's evaluation design for measuring the realization of the Objectives
- o Availability of evidence that the program's approach will successfully satisfy the needs to which it is addressed
- o Appropriateness of expenditures to the achievement of the Objectives
- o Innovativeness of the project

- Agreement of the Developer to serve as a Demonstration District if the project is Validated

- Awareness of information concerning similar programs, relevant research findings, and views of recognized experts

- Cost of the program and the district's ability to continue the program after initial costs are reduced or eliminated

4.4 Notification of SED Approval/Disapproval - After this review, all districts which have submitted Developer proposals receive notification of tentative SED approval or disapproval. A district whose proposal is approved receives further instructions to complete an FA-10 budget form and evaluation methodology. A district whose proposal is disapproved may request a hearing by contacting the Title IV-C office. The hearing will offer an opportunity for the applicant to substantiate any complaint concerning the processing of the grant and/or the signficance of the proposal.

4.5 Program and Budget Negotiation and Notification of Grant Award - Representatives of a district which has received a tentative approval letter will usually negotiate with an ESEA Title IV-C Program Manager before a final program and budget are approved. This negotiation includes a careful review, where necessary, of the program's Objectives, activities, and evaluation methodology. Budgeting concerns are also addressed to ensure proper charges and funding economies.

Once the negotiations are finished and the final program and budget have been approved, the district receives a "Notification of Grant Award" which specifies the period and the amount of the grant and the title and file number by which the project will be known in the State Education Department. THIS TITLE AND FILE NUMBER SHOULD BE GIVEN ON ANY CORRESPONDENCE BETWEEN THE DEVELOPER DISTRICT AND THE IV-C OFFICE. A copy of this "Notification" is on the following page. Along with this "Notification" the district will receive a copy of the publication, "Fiscal Guidelines for Federally Funded Projects" which contains many of the forms and instructions needed to administer a federally funded project.

Twenty-five percent of the year's budget will automatically be disbursed to the project through the Division of Educational Finance and form FA-25-AP in the "Fiscal Guidelines" publication should be used to request further funds at appropriate intervals. The Program Manager with whom the program and budget were negotiated becomes the IV-C representative to the approved project.

THE UNIVERSITY OF THE STATE OF NEW YORK
The State Education Department
DIVISION OF ESC GENERAL PROGRAM PLANNING
Albany, New York 12234

NOTIFICATION OF GRANT AWARD
E.S.E.A., Title IV-C FY 197-
Authorized Under P.L. 93-380

1. Legal Name and Address of Local Educational Agency

   a. Legal Name _____ 2. Congressional Dist. ____

   b. Mailing Address _____ 3. State Code No. _____

   c. Telephone No. _____ 4. Region Name _____

   d. Chief Administrative Officer _____ _____

   _____

5. Project Title _____ SED # _____

   _____

6. Period of Grant (Month, Day, Year) From _____ Through _____

7. Amount of Grant $_____

8. Grant Award is (check one)

   _____ Year _____ Amended Grant

9. Special Grant Conditions: The fiscal operation of this project must be in accordance with the Uniform System of Accounts for School Districts as prescribed by the Office of the New York State Comptroller and in conformity with fiscal guidelines for the operation of Federally aided programs in local educational agencies of New York State as printed in Fiscal Guidelines for Federally Funded Projects - 1969-70 Programs (still applicable).

10. Name and Title of Authorized State Offical

    Taylor D. Hall
    Coordinator of Innovative Education Planning

Signature 38 Date

4.6 Continuation Applications - A Developer project may project its activities over a period of two or three years. If such a projection has been made in the first year application and in the negotiations with the ESEA Title IV-C office, the project must submit a continuation application for each of the following years. Such a continuation application must be accompanied by a completed Status Report Form, a copy of which may be found below. An application for a continuation grant does not automatically ensure that continuation funds will be provided, since such grants will be considered in competition with other continuation grant proposals.

Part B - OPERATION AND ADMINISTRATION OF THE DEVELOPER GRANT

THIS SECTION OF THE DEVELOPER MANUAL IS TO BE USED BY SCHOOL DISTRICTS WHO HAVE BEEN AWARDED DEVELOPER GRANTS OR DEVELOPER GRANT CONTINUATIONS

Chapter 5 - Beginning Operations

5.1 Beginning Date - Activities of the Developer project may begin anytime after the Beginning Date specified in the "Notification of Grant Award." Generally, operation should begin as soon after the beginning date as possible in order to complete the activities within the Grant Period.

5.2 Record Keeping - Records of project activities and copies of all correspondence and other project documents should be carefully maintained from the beginning of operation. Such information will be needed from time to time when reports are requested by the IV-C office and when site visits are made by State and Federal officials.

5.3 Budget Planning - A district needs the following to plan expenditures during the Grant Period:

1. The grant budget (completed from FA-10)
2. The booklet "Fiscal Guidelines for Federally Funded Projects" which contains the budget forms needed to carry out the fiscal responsibilities of the project under Title IV-C
3. The grant proposal
4. The "Records of Grant Transactions" included here

5.4 The next two pages contain blank forms for the daily and monthly "Records of Grant Transactions."

STATUS REPORT FORM FOR DEVELOPER PROJECTS

(To be completed by Developer projects which have operated for one year or more)

Please type activities as submitted in proposal for the present school year or as revised after negotiation. Please explain any major changes in activities or scheduling.

ACTIVITIES: A separate sheet is to be completed for each set of activities relating to an Objective. Each activity should be related to an Objective.

ACTIVITIES	Dates Begin	Dates End	Activity on Schedule and Completed (Give Date)	Activity on Schedule (Date to be Completed)	Activity Not on Schedule (Date to be Completed

EXAMPLE EXAMPLE EXAMPLE

RECORD OF GRANT TRANSACTIONS - DAILY

Local Educational Agency

Project Title

Project Number

Dates of Operation (Budget Period)

Amount Approved

Encumbrance Date	(Budget) Category #	Item or Name or Vendor	Amount Paid	Date Paid	Check Number	Amount in Category Before Expenditure	New Amount in Category
9-15-75	210	Payroll	$ 630	9-16-75	754	$ 12,600	$ 11,970
9-15-75	215	Payroll	100	9-16-75	755	1,000	900
9-15-75	1230	Rice Equipment Co.	1,500	9-15-75	756	3,000	1,500
9-30-75	210	Payroll	630	10-1-75	801	11,970	11,340
9-30-75	215	Payroll	100	10-1-75	802	900	800

EXAMPLE

RECORD OF GRANT TRANSACTIONS - MONTHLY

	BUDGET CATEGORIES									
Date	210	215	250.2	250.3	220	240			1230	Total
9-1-75	12,600	1,000	200						3,000	
10-1-75	11,340	800	200						1,500	
11-1-75										
12-1-75										
1-1-76										
2-1-76										
3-1-76										
4-1-76										
5-1-76										
6-1-76										
7-1-76										
8-1-76										
Totals										

5.5 Budget Responsibilities - A school district is responsible for the expenditure of funds under a grant in accordance with the grant budget and with the guidelines in the "Fiscal Guidelines" booklet mentioned in Section 5.1 of this Manual. Funds for the project must be deposited in an account separate from other school district accounts and records for all project expenditures (including vouchers, purchase orders, etc.) should be carefully maintained. A "Record of Grant Transactions" should record these expenditures. Questions or requests for assistance concerning the fiscal management of a project should be addressed to the Division of Educational Finance, Federally Funded Programs, 1731 Twin Towers, State Education Department, Albany, NY 12230 (518) 474-4815.

5.6 Evaluation - Evaluation is one of most important aspects of project operation. Since the program being developed is expected ultimately to be Validated and to Demonstrate, the Evaluation Strategy must be implemented at the very beginning of the Grant Period. The following items are necessary to begin implementing this strategy:

1. The grant proposal - especially Section II, item 5 of that proposal - "Evaluation Methodology"
2. The tests or other evaluation instruments which the evaluation strategy will employ
3. Instruments for the collection and recording of evaluative data

A district is expected to evaluate its program according to the evaluation methodology approved under the grant. Any changes in evaluation methodology must be approved by the Program Manager and the ESEA Title IV-C Evaluation Team. Any questions or requests for assistance concerning the evaluation of a project should be directed to the Program Manager or the Bureau of School and Categorical Programs Evaluation (518) 474-7264.

5.7 Hiring Personnel and Contracting for Consultants - Although the employment of persons under a Developer grant is contingent upon the continuation of that grant, such employment is considered continuous and on-going under Civil Service law.

Consultants may be hired without prior approval if monies for the particular activity for which the consultants have been hired have been included in the approved budget and if their rate is $100 per day or less. For the use of consultants whose rates will exceed $100 per day, prior written approval is to be obtained from the Division of ESC General Program Planning and the following information will be required:

- Name and affiliation of consultant
- A resume and/or credentials
- Justification of why this person is to be hired rather than someone else
- Dates and/or hours of work to be performed

o Rate charged by the consultant

The rate of $100 per day does not include travel, the rates for which are those of the school district hiring the consultant. In the absence of an established travel rate, reimbursement will be at the State rate. (Travel is defined as transportation, food and lodging).

5.8 Acquiring Physical Plant and Equipment - In general the physical plant used in a Developer project is provided by the local school district. Most, if not all, of any funds approved for construction purposes in a Developer budget are for minor remodeling. The assurances filed with the original application and the regulations given in "Fiscal Guidelines for Federally Funded Projects," pages 93-95, should be reviewed as needed. Any construction paid for from Title IV-C funds should be insured according to Board regulations for insuring construction in the district. Equipment should be acquired through the most economical means - whether rented or purchased - and should be ordered as soon as possible after the Grant Award is received. Equipment may not be ordered if its delivery date is within the last 90 days of the project unless written approval is given by the Title IV-C office. Equipment costing more than $2500 should have at least three bids, the award going to the lowest bidder who has the suitable equipment.

Title to equipment used in a Developer project remains with the project itself. Such equipment must be transferred to the district which maintains the project if the project itself is transferred. Equipment lost or stolen through negligence or while being used for other than project purposes must be replaced by district funds. Project equipment should be insured according to the Board regulations for insuring regular district equipment.

After termination of a Developer project, the Title IV-C office will determine who will use the equipment acquired by that project; if all project activities are being continued, then the equipment will generally remain with the district for the purpose of the project.

The school district must maintain inventory of all equipment acquired with ESEA Title IV-C funds having a cost of $300 or more per unit. The records of such inventories must be kept for three years if a field audit has been conducted or for five years if a field audit has not been conducted.

5.9 Establishing Timelines and Keeping Records of Activities - The chronological chart for Developer Projects in Part B of this Manual can be used for an overall timeline for planning, application, operation and administration of a project. In addition, a district should establish firm and realistic timelines for all activities in a particular project in accordance with the beginning and ending dates of the activities in the grant application. Separate budget

and evaluation timelines may also be useful. Obviously, adjustments in timelines will be necessary during the course of the grant's operation, but careful planning and time budgeting will help a district to efficiently carry out the activities of a Developer grant. Careful records should be kept, not only of budget transactions and evaluation activities, but of correspondence and telephone contacts relating to the activities of the project. Such records will be useful to a district when completing the project Status Report and for responding to information requests from various monitors (see Sections 4.6, 6.10, and 7.4 of this Manual).

Chapter 6 - Carrying Out the Activities of the Developer Project

6.1 Budget Considerations - The following are necessary for the administration of the fiscal aspects of a Developer project:

1. The grant budget
2. The booklet "Fiscal Guidelines for Federally Funded Projects" which contains the budget forms necessary to execute a Developer district's fiscal responsibilities under Title IV-C
3. The grant proposal
4. The "Record of Grant Transactions" in Section 5.2 of this Manual

6.2 Budget Amendments - Expenditures should be made according to the specifications in the project budget (Form FA-10 - see Section 4.4 of this Manual). No increase in the total budget is permitted. When warranted by the project's activities, funds may be transferred among the various categories in the project budget according to the following rules:

- Funds may be transferred from one category to another within a budget subtotal without authorization. For instance, categories 220-240 are within the same subtotal and money can be transferred within that subtotal.
- A Budget Amendment (Form FA-10-A in "Fiscal Guidelines for Federally Funded Projects") must be approved in the IV-C office for a transfer of funds among budget categories which are not within the same subtotal when the transfer would:
  - result in an increase of more than 10% of the total amount listed for a budget category and increase the budget subtotal by more than $500
  - increase or decrease the number of full time equivalent personnel in the approved budget
  - fundamentally change the nature of duties to be performed by the personnel approved in the budget
  - provide for purchase of equipment with a unit cost of more than $50
  - provide for changes in budget category 1220.3 (minor remodeling)
  - reimburse consultants in excess of $100 per diem
  - require out-of-State travel
  - change the nature and/or conditions of a contract approved within the Grant Award

- extend the budget period for the project (except where a request for extension of the budget period has been approved (see Section 7.2 of this Manual).

All transfers are within the total budget amount; BUDGET GRANT TOTALS CANNOT BE INCREASED AFTER THE NOTIFICATION OF GRANT AWARD.

6.3 Stipends - Stipends may be paid to participants in Developer projects only for time which is not already paid. Persons considered to be in twelve-month full-time jobs may not receive stipends for extra time. Stipends may be paid to teachers for summer and weekend work and for after-school work. Stipends, except where used solely to reimburse teacher expenses, are subject to withholding and to retirement contributions. The payment of stipends to eligible personnel should adhere to the following guidelines:

- A public school teacher attending inservice education during the school day and residing at home during this period of inservice education may not receive stipends. The salary of a substitute teacher, who is replacing a public school teacher while that public school teacher is participating in inservice education during the school day, may be reimbursed.

- A stipend may be paid at the rate of $5.00 per hour to a teacher attending an inservice course held after school or in the evening.

- A stipend at the rate of $5.00 per session hour, with a maxumum of $25.00 per day, may be paid to a teacher attending an inservice course conducted at some distance from the school district. A stipend of $25.00 per day and at the rate of $5.00 per hour for a half-day or less may be paid to a teacher attending an inservice course on Saturday.

- A teacher attending inservice education sessions during the summer may be paid a stipend at the rate of $25.00 per day with a maximum of $125.00 per week and at the rate of $5.00 per hour for a less than half-day session. Up to $15.00 per week may be allowed to such a teacher for each eligible dependent.

6.4 Eligible Expenditures - Under the Developer grant, only expenditures specifically outlined in the approved budget or in subsequently approved budget amendments will be reimbursed. Expenditures made otherwise will not be reimbursed.

6.5 Authorization for Out-of-State Travel - Any out-of-State travel not specified in the final budget must be approved by the ESEA Title IV-C office prior to beginning travel. To receive approval, the LEA must submit two copies of a letter describing the way that the trip supports the Objectives of the program along

with two copies of Form FA-60 (Travel and/or Trip Expenses) a copy of which may be found on the next page. Receipts for such travel expenditures must be maintained and travel allowances are to be paid in accordance with the district's Board policies. In lieu of a Board policy, State travel rates will apply.

6.6 Subcontracts - Any intent to subcontract not specified in a project's final budget must have prior approval from the ESEA Title IV-C Coordinator before a formal contract is concluded. Such a contract between the LEA and another organization to perform some portion of the project or to share in its operation will obligate the subcontractor to do the following:

- maintain separate records and accounts for that subcontract
- adhere to appropriate Federal law, regulations, grant terms, and conditions, and appropriate State contracting procedures and regulations
- submit properly documented expenditure reports to the local educational agencies
- make available all records to representatives of the New York State Education Department and the Department of Audit and Control when requested

EXPLANATION - TRIP EXPENSES

Complete one (1) copy for each separate trip budgeted (or reported). Attach to original budget, amendment form or final claim.

Project No. _____
FA-60 (3-70)

Check One

___Teacher or Staff Conference
___In-District Travel
___Student Field Trip

Check One

___Budget Purposes
___Report for Claim

Name of Staff Member or Class: _____

Purpose of Trip: _____

_____

Destination: _____

Dates: (be specific) _____

Number of Students: _____ Number of Teachers: _____

Expenditures Included in Code _____ of Budget

_____

_____

Date of Trip	Description of Expenditure	Meals	Lodging	Charges Travel	Other	Total

_____

TOTAL

Date: _____ Signature: _____
Chief School Officer

The following information is to accompany or be contained in all approvable cooperative agreements or contracts which must be signed by appropriate project personnel:

- name and nature of agencies with which the contract will be made
- beginning and ending dates of contract
- type of contract (e.g., fixed price, cost reimbursement)
- funds to be paid under the contract and schedule of payments
- services (or products) to be provided
- budget category for funds to be used

The local educational agency retains responsibility for the control and supervision of the contracted services. Under no circumstances may an entire project be subcontracted. Services provided under a subcontract may not be performed prior to the beginning date nor later than the closing date in the ESEA Title IV-C "Notification of Grant Award."

6.7 Carrying out the Evaluation Strategy - During the course of the Developer grant, the school district must carry out those procedures which will evaluate the usefulness of the project activities. The purpose and planning of these evaluation procedures is discussed in Section 2.4 of this Manual. The following procedures should be part of an evaluation timetable and should be carried out at the appropriate times:

- tests administered (in cases where pre/post testing is being used, be sure that the pre-test is given early enough in the project for the post-test results to be reliable)
- other instruments to be completed at appropriate times (e.g., when teacher observation is used to evaluate an activity, the instrument, questionnaire, check list, etc. used to objectively record the observation must be completed at the time of the observation)
- data collection (data resulting from the administration of any evaluative instruments must be systematically collected and recorded; the dates of administration and/or use of such instruments must be recorded)
- all evaluative instruments used and all record of data derived from such instruments must be kept on file; (these documents and records will eventually be used in the application for Validation of the project)

- analysis of evaluative data (data should be analyzed regularly in order to monitor progress in achieving the program's objectives)

6.8 Involvement of Nonpublic Schools - Nonpublic schools must be involved in all of the project activities in which the proposal indicated they would be involved. This continued participation should be facilitated and encouraged by the Developer district (see Section 3.2 of this Manual).

6.9 Expenditure Report and Monthly/Quarterly Request for Funds - The "Expenditure Report and Monthly/Quarterly Request for Funds" must be submitted periodically in order for project funds to be sent to the school district. Most Developer projects are budgeted at under $100,000 and, therefore, must submit this report at the end of each calendar quarter in order to receive funds beyond the 25% of the budget given at the time the budget is negotiated. Developer Projects funded at over $100,000 must submit this form each month in order to receive these funds. An explanation of the purpose and requirements of this form may be found in "Fiscal Guidelines for Federally Funded Projects," pages 45 through 48.

6.10 Record Keeping - Records of all project activities - especially budget and evaluation activities - should be kept and the completion of activities should be periodically checked against the projected dates on the project timeline. Such records will be needed in completing State reports, responding to requests from State monitors, justifying continued funding of the Developer project and applying for Validation.

Chapter 7 - COMPLETION OF GRANT ACTIVITIES

7.1 Budget - Any funds not expended before the end of the grant period may be deobligated to the State and used in other projects needing these funds. If, toward the end of the Grant Period, a district finds that it has more funds than needed in certain budget categories, it may consider transferring these funds to other categories in which they are needed. The budget amendment (Form FA-10-A), described in section 6.2 of this Manual should be used for this purpose.

7.2 Extension of Budget Period - The period in which the budgeted funds are to be used may be extended in order to finish activities necessary for fulfillment of project Objectives or to prepare for the continuation period. The project may be extended as long as three months past the original ending date for the budget period. A letter requesting such an extension should be sent to the Project Manager in the ESEA Title IV-C office at least one month before the original ending date for the budget period. THE BUDGET PERIOD FOR THE NEXT YEAR'S CONTINUATION GRANT MAY NOT BEGIN BEFORE THE EXTENDED BUDGET PERIOD FOR THE PRIOR YEAR IS COMPLETED.

7.3 Final Project Expenditure Report - The final expenditure report, the instructions and form for which may be found in "Fiscal Guidelines for Federally Funded Projects," pages 57-76, must be submitted after all project expenditures have been made and no later than 90 days following the end of the project year.

7.4 Continuation Application - If the activities of a project have been projected for a period extending beyond the year of the present grant, the district must submit a continuation application. The form to be used for continuation applications is the standard ESEA Title IV-C application form which can be found in Section 3.5 of this Manual. Instructions for completing this form are in Section 3.6 of this Manual. Also, a completed "Status Report" must accompany an application for funding beyond the first year (see Sections 4.6 and 6.10 of this Manual).

7.5 Mailed Information Report - At the end of the Grant Period all of the evaluative information should be appraised with a view toward determining progress made toward the Objectives. The Mailed Information Report (MIR), which is due before the end of the Grant Period, requires information on such evaluation activities. Forms for this report may be received from the Bureau of School and Categorical Programs Research, State Education Department, Albany, New York 12234.

7.6 Liquidation of Obligations - Any obligations incurred during the budget period must be liquidated within one year after the end of the budget period in which they were incurred.

7.7 Termination of Unsuccessful Projects - After consultation, a project may be terminated, in whole or in part, by action of the Commissioner of Education if a project fails to meet the conditions set forth in the approved project plan. Districts will be notified of the proposed termination and its effective date and no disbursements will be permitted thereafter. The local educational agency so affected will be given 30 days notice prior to the termination date. A hearing concerning the termination may be requested by the local educational agency within this 30 day period.

7.9 Validation - A successful ESEA IV-C Developer project is expected to apply for New York State Validation in the final year of the project. Before beginning the final year of a Developer Project, the school district should obtain and carefully read Publication II of the "Transferring Success" series, "The Validation Manual," which will be available March, 1979.